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ABSTRACT

The product of a graduate-level introductory course on the principles, approaches and techniques of effecting change, this syllabus provides instructors with a semi-organized collection of readings, exercises, lecture topics, films, student projects, and discussion points. Its target is the student in the professional school who has little formal background in psychology and applied behavioral science, yet whose job potential requires a need to use this knowledge to achieve results. Sections of the syllabus correspond to parts of the course: (1) effecting change in controlled environments, (2) application of learning principles, (3) general strategies for effecting change, (4) resistance to change, (5) effecting change in organizations, and (6) social change strategies for professionals. A bibliography of related literature and a list of journals for browsing are included. (Author/JD)

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EFFECTING CHANGE: SYLLABUS FOR 1ST 640

by

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Acknowledgements:

The idea for this course and the exercises in it originally came from some either years of working with other trainers in communication, management and change seminars conducted for the Agency for International Development, and various library and hospital organizations. I particularly want to acknowledge the contribution of Dr. Brenda Dervin and Dr. Allan Hershfield for their help in developing the in-class exercises and their effect on the course organization and my teaching style.

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Notes to the Instructor

The material in this syllabus represents a semi-organized collection of readings, exercises, lecture topics, films, student projects, and discussion points. Two cautions are required. First of all there is too much material here for a three-credit-hour, semester long, graduate level course. Secondly, the materials and topics are not developed equally for all topics. These suggest a need to preview the material carefully and integrate it into your course objectives and the needs of the students.

IST 640 is graduate-level introduction to the principles, approaches and techniques of effecting change. Its current target is the student in the professional school who has little formal background in psychology and applied behavioral science, yet whose job potential requires a need to use this knowledge to achieve results.

There are no prerequisites for the course. Students with substantial background in psychology (particularly learning theory and social psychology) or in management (particularly organizational theory and managerial psychology) may find parts of this redundant.

No textbooks are specified. Various textbooks have been tried with some success. No single textbook reflects the breadth of the course. Many possible books to choose from are listed in the bibliography. Depending upon the topics covered you may want to consider the following.

The collections of readings edited by Bennis et al., Zaltman, et al. and Leavitt and Pondy contain so many valuable articles it is difficult to choose the best or most relevant. The ones listed in this syllabus are a beginning selection; most of them emphasize theory or principles and are not examples or case studies. Additional readings of examples of change are needed and should be added to the reading list. (Complete citations in Bibliography.)

For changing oneself and others in more controlled environments consider either

Fensterheim, H. and Baer, J. Don't Say Yes When You want to Say No.

Kazdan, A. E. Behavior Modification in Applied Settings.

For general readers in effecting change consider either

Bennis, W. G. et al. The Planning of Change (2nd ed.).

Zaltman, G. et al. Creating Social Change.

For specific strategies for effecting change, consider

Alinsky, S. Rules for Radicals (power strategies of small groups)

Havelock, R. G. et al. Planning for Innovation Through Dissemination and Utilization of Knowledge (rational-empirical strategies).

Rogers, E. and Shoemaker, F. F. Communication of Innovations (rational-normative strategies).

Goldstein, A. P. and Sorcher, M. Changing Supervisor Behavior (re-educative strategies).

Fishbein, M. and Ajzen, I. Belief, Attitude, Intention and Behavior (attitude change strategies).

For lobbying and political action,

Coplin, W. D. and O'Leary, M. K. Everyman's Prince.

For Management, consider

Bennis, W. G. et al. The Planning of Change (2nd ed.).

Leavitt, H. J. and Pondy, L. R. Readings in Managerial Psychology.

For Marketing approaches

Kotler, P. Marketing for Nonprofit Organizations.

Engel, J. F. et al. Consumer Behavior.

The in-class exercises described have been carefully selected to have real educational impact. They function to make the message more vivid and real to the student. In fact, they can be looked upon as an "unfreezing" attempt in a "supportive" atmosphere -- i.e., an example of a normative-reeducative tactic for implementing change. The exercises are based on numerous tryouts with a variety of different kinds of groups. In general, they work. The expected outcome for each exercise is given, and some of the major educational "points" which usually result from each are included.

COURSE ORGANIZATION

- I. Introduction
- II. Effecting Change in Controlled Environments
- III. Application of Learning Principles
- IV. General Strategies for Effecting Change
- V. Resistance to Change
- VI. Effecting Change in Organization
- VII. Social Change Strategies for Professionals

I. INTRODUCTION

A. Rationale

1. Change is endemic and increasing.
2. Many students, particularly in the professional schools, learn many skills and innovative ideas for the improvement of their profession. Yet they rarely have the opportunity to practice putting these ideas into practice. Often the job is allowed to constrain them -- goal displacement.
3. As a generality, students who have been raised on 16 or more years of education have a limited range of change strategies available to them. Many of these are based on education. To be effective on the job they need to expand their repertoire of change strategies.

B. Some Fundamental Assumptions

1. It is the job of change agents to achieve results, not win debates.
2. Information by itself leads to behavior change infrequently and only a small percentage of the population are so affected.
3. Behavior change leads to attitude change. While the reverse may also work it is often more difficult to change attitudes so that a behavior change results.
4. Change needs to be planned.
5. All change affects people. To be effective as a change agent we need to understand how people function in a changing environment.

C. Readings

Zaltman et al., Chapter 51: Manipulation of Human Behavior: An Ethical Dilemma for the Sociologist (Also in Bennis et al. chapter 11.1).

Havelock and Havelock, Chapter 1: Our Contemporary Knowledge about the Change Process.

D. Exercises

1. A discussion on the ethics of planned change can be stimulated by posing the following question.

Suppose a manager of a medium-sized work group decides to stop being authoritarian and become more democratic.

Specifically, he wants to implement a version of participatory management. Can he make that decision? Can one order people to be democratic? In this sort of situation do the ends justify the means? In what realistic situations might the ends justify the means?

II. EFFECTING CHANGE IN CONTROLLED ENVIRONMENTS

This unit is based heavily on applied learning theory. Learning theory is well developed and well supported by research. Of all the change approaches in the course it is the most coherent and for that reason is worth presenting. In addition, learning theory, once understood can be immediately used by the student to change themselves or their children. Because of its applicability, it presents a real change to be implemented and followed throughout the duration of the course.

A. Learning theory presents a behavioristic point-of-view.

Some underlying assumptions of this viewpoint are:

1. Behaviors themselves are important; they are not merely symptoms of underlying problems.
2. Behaviors are for the most part learned. If so, they can be unlearned; or behaviors incompatible with these can be learned.
3. A person's past is only slightly important in understanding his behavior and in implementing a change in that behavior.
4. To make real, lasting changes in a person, some control is needed over that person's environment.

B. Respondent Behavior

1. Emotional behavior; involuntary reactions of nervous system. Examples: fear, anxiety.
2. Primarily learned through classical conditioning (Pavlov).
 - (a) Notice that the reinforcer (unconditioned stimulus) is always given; it is independent of the response.
3. Methods of changing respondent behaviors
 - (a) based on extinction -- e.g. implosion or flooding
 - (b) based on substitution -- e.g. counter-conditioning or reciprocal inhibition

C. Operant Behavior

1. Voluntary behavior usually; involving skeletal muscles.
2. Primarily learned through operant conditioning (Skinner).

3. Methods of changing operant behaviors:

- (a) based upon reinforcement contingencies.
- (b) based upon changing the controlling stimuli in the environment.

4. Some key concepts

- (a) reinforcement (positive and negative)
- (b) shaping
- (c) punishment (positive and negative)
- (d) generalization
- (e) discrimination (S^D and S^{Δ})

D. Readings

Students should read to get a working mastery of the underlying principles. Secondly, they should read several examples of how change agents (parents, therapists, laypeople) have used these principles to effect change.

The readings are arranged by topic. Full citations are given in the bibliography.

II-A Learning Theory and Behavioristic Approaches

Kazdin, chapters 1 and 3.
Staats & Staats, chapter 3.
Rickard, pp. 3-34.
Zaltman et al., Chapter 46: Shortcuts to Social Change.

II-B Respondent Behavior

Wenrich, chapters 2 and 3
Stampfl

II-C Operant Behavior

Kazdin, chapter 2.
Staats and Staats, chapter 3.
Wenrich, chapters 4-6.

E. Films

If the students fully understand the underlying principles the films may be unnecessary. Distributors of each film are given in bibliography.

"Behavior Theory in Practice, Parts I - IV" (operant conditioning)

"To Alter Human Behavior Without Mind Control" (possibilities, consequences and ethics).

F. Discussion questions

What are the requisites for using these techniques on other people?

III. APPLICATION OF LEARNING PRINCIPLES

A. Assertiveness

1. Define assertiveness: distinguish from aggressiveness.
 - (a) positive assertiveness -- ability to express positive feelings (thanks, love, approval).
 - (b) negative assertiveness -- ability and ease of expression of justified feelings of anger, disagreement, etc.
 - (c) lack of self-denial -- minimal interpersonal anxiety or excessive concern for others.
2. Non-assertive people may have difficulty, because of their lack of assertiveness, to function effectively as change agents.
 - (a) To be an effecting change agent one needs to be more than assertive, but some assertiveness is needed.
 - (b) Non-assertive people are often anxious, particularly in interpersonal situations. This may prevent them from initiating action, contributing voluntarily, or responding adequately to criticism.
 - (c) Non-assertive people are often controlled by others.
3. Assertiveness training is based on learning principles.
 - (a) Use of behavior change (assertiveness) to produce emotional change (less anxiety).
 - (b) Counter conditioning.
 - (c) Behavior rehearsal.
 - (d) Self reinforcement.
4. Readings

Fensterheim and Baer (even though the entire book deals with many forms of behavior modification, it is well worth reading completely).

Bloom

5. Films

"Behavioral Therapy Demonstration." This film is for training of therapists. It shows actual assertiveness training occurring in a therapist's office.

6. Exercises

Have student complete and discuss one of the prepared tests of assertiveness. See Rathus' article in bibliography.

B. Self-Control

Applying principles of learning to change oneself.

1. Review how principles of learning can be applied to oneself.

- (a) reinforcement
- (b) stimulus control
- (c) punishment
- (d) extinction
- (e) combinations of these

2. Difficulties on self-control

- (a) changing of standards and criterion over time.
- (b) unwillingness to punish self.
- (c) insuring that reinforcements are contingent upon behavior.

3. Readings

Kazdin, chapters 8 and 9.

Fensterheim and Baer (any of the various exercises throughout the book).

4. Exercise

Ask students to try one self-control technique on themselves for the duration of the semester. What they choose to work on should not be personal because periodic progress reports should be called for. Instead of a self-control technique, students with children may try to implement a behavior change in their children. Again, use periodic reports to the class to keep the project working.

IV. GENERAL STRATEGIES FOR EFFECTING CHANGE

This unit (and the ones that follow) are less developed than the former ones because the theories and research are not as strong or cohesive. In fact some of the theories and approaches here conflict with each other. In addition, research has not identified the situational conditions which indicate one strategy rather than another.

A. The Consensus Game

The major purpose of this game is to confront students with a contradiction, viz., those change strategies they believe are effective versus those change strategies they actually use to implement change. The game requires a minimum of 1½ hours and may go on for over two hours. It can be played with a minimum of 6 people, but 12-15 is better. Up to about 30 people can play the game and still have some educational impact.

It can be run by a single game leader (the course instructor), but a helper is very useful. At least one of the game leaders needs to be able to analyze and record influence (change) attempts as they take place during the game.

- (1) With your help have the class brainstorm a list of methods for effecting change. Don't worry about repeats, or vague methods at this point. It may help though to mention that you are interested in how people effect change so "persuasion" as a method really doesn't qualify since it is too general and may be used synonymously with change. Examples may include to "teach," to "set an example", to "bribe", to "coerce", etc.

You can help and contribute to the list by supplementing what the students suggest. If all of their contributions are based on education, suggest some power approaches (e.g. force, order, etc.); and some interpersonal approaches (e.g. group pressure, compromise).

- (2) Have the students combine similar methods and eliminate vague ones. The final list should contain no more than 10 methods of change. Assign each method a letter to designate the method. Listed below is one such list. It is given as an example only, use the one generated by the class.

- A. Reward/bribery
- B. Force/threat/punishment
- C. Demonstrate/set example
- D. Facts/reasoning
- E. Compromise
- F. Group pressure
- G. A personal favor
- H. Authority/order

(3) Individual Rankings

Each student is to rank order all methods of change in terms of the most effective method he/she has found for implementing change. They are to assign the number 1 for the most effective, 2 for the second most effective, etc. It may help in this task if the students focus on a specific job situation or change situation they are familiar with.

There are two rules for this task:

- (1) The task cannot take longer than 10 minutes
- (ii) There cannot be any tied scores

(N.B. The first rule does not have to be enforced, though it should be mentioned. The second rule should be enforced.)

(4) Group Rankings

Divide the class into groups -- (a minimum of three groups and a maximum of six). Four or five students per group is preferable.

- (i) Each group member is given 1 minute to describe his list and rational to rest of group. Enforce time limit.
- (ii) Group as a totality is allowed 15 minutes to reach consensus on one list for the group. Again, strict enforcement of time limit is not needed, but time pressure ought to be exerted. The rules for this round of the game are similar to the previous round. Consensus is required, no voting or majority rule. Groups are to submit a written copy of their agreed-upon ranking signed by each group member to indicate agreement.

(5) Group Reports

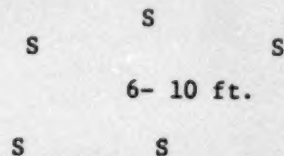
Each group elects a spokesperson who orally presents the group's ranking to the entire class. Immediately after the ranking is given, the spokesperson should give the group's rationale for the ranking. The instructor should record the rankings of all groups on a blackboard or large tablet. Use a form similar to the following:

Method	Group 1	Group 2	Group 3	Group 4
A. Reward/Bribery	8	5	6	2
B. Force/Threat	6	8	.	.
C. Demonstrate	3	2	.	.

Where each number in the table is that group's ranking for that method of effecting change.

(6) Classroom Ranking

Arrange the seating in the classroom so that the spokespersons face each other in a circle. Keep them 6-10 ft. apart so that they have to speak loud enough for all to hear. Then arrange the group members in semicircles behind the back of their respective group leader.



Assign the spokespersons the task of coming to a consensus and arriving at one ranking for the entire classroom. The rules for this round of the game are:

- (i) no voting or majority rule. It must be unanimity.
- (ii) only spokespersons can communicate with other spokespersons.
- (iii) group members may communicate with their spokesperson.
- (iv) spokespersons can communicate with their group members.
- (v) allow 30 - 45 minutes at most for this task.

(7) Observation

Unbeknownst to the participants, the instructor and any helper available should position themselves unobtrusively and record the number of attempts used by the spokespersons to effect change in the other group leaders. It may help also to copy down verbatim specific instances of influence attempts. Also study posture and gestures. Pay particular attention to the role of group pressure and compromise. Usually these are frequently used and used successfully, but do not fall at the top of everyone's list.

(8) Classroom Discussion

Begin by asking class what they thought was happening. After a general discussion some more specific questions can be asked.

- (i) How did group leaders feel about negotiating in front of the group members? Did it make it easier or harder for the group leaders to reach consensus?
- (ii) What rules of the game make it difficult for the group leaders to reach consensus?

(9) Some Points to be Stressed by Instructor at End of Discussion

- (i) Intelligent, over-educated students tend to believe in the power of facts/reasoning/logic as a method of effecting change. While facts occasionally work, they rarely work, by themselves, on large groups of the population (e.g. cigarette smoking and health).

There seems to be a norm to present facts and then follow those with a more effective method of change such as group pressure. It is the pressure that effects the change, but the person being changed sees himself as responding to the facts.

- (ii) There is a tendency to underestimate the power of social change factors: group pressure, personal favor, compromise.
- (iii) There is a similar tendency (but it is difficult to demonstrate in this game) for students to underestimate the power of authority.
- (iv) Bargaining in the presence of those you represent makes it difficult to reach agreement.
- (v) Having people publicly commit themselves to a position makes it more difficult for those people to change that position -- particularly if they have to change it publicly.
- (vi) Change agents need a repertoire of change approaches, not just the ones they are familiar with.

B. Introduction to Types of Change

1. Rogers and Shoemaker (see bibliography) distinguish between various types of change. What are the implications of each of these on change strategies?
 - a. individual versus social change
 - role of media
 - role of personal strategies
 - b. immanent versus contact change
 - distance factors
 - acceptance and role of strangers
 - c. directed versus selective change
 - role of committed opinion leaders.

d. optional versus collective versus authoritative change

- role of power

2. Chin and Benne (in Bennis et al. The Planning of Change) and Zaltman et al (see bibliography) have identified four general approaches to change strategies. For each of these general approaches the students should read to answer the following questions:

- what is assumed about people being changed?
- what role do people who are to be changed play?
- what general sort of tactics are used?
- according to the research, how effective is this general approach?
- what are the problems occasionally encountered?

- a. Rationale-empirical approaches
- b. Normative-reeducative approaches
- c. Power-coercive approaches
- d. Attitude-change approaches

C. Readings

In Zaltman et al. Chapter 3: Change

Chapter 13: The Elements of Social Action

Chapter 18: General Strategies for Effecting Change in Human Systems

In Bennis, et al. Chapter 2.4: The Mechanisms of Change

Chapter 4.2: Two Strategies for Social Change and Their Dilemmas

Chapter 7.2: Principles of Changing

In Havelock et al. Chapter 4: The Individual

Chapter 5: Interpersonal Linkage

Rogers and
Shoemaker

Chapter 7: The Change Agent

Abelson, R.P.

Are Attitudes Necessary.

D. Films

"Focus on Behavior #7: The Social Animal." The prologue and the first two experiments are all that is relevant here. The film recreates famous studies which indicate that (1) people may be rejected if they depart from group norms, therefore (2) they may do or say something they don't believe to be true to avoid rejection. When they do that, (3) they may change their attitudes ending up believing what they say. This film is a useful adjunct to any discussion of normative approaches to change. The second experiment by Festinger is a good introduction to dissonance theory -- which is one of the cognitive consistency approaches to effecting change.

E. Discussion Questions

1. Analyze the strategies, tactics and specific influence agents in several social changes which have recently occurred.
 - introduction of flourides into water systems
 - hula hoops
 - women's liberation
 - automation on the job
2. Are there any approaches to change which seem contradictory?
 - what about the unfreezing-changing-refreezing approach of Schein (Bennis et al, Chapter 2.4) with the common-sense psychiatric approach which suggests that people who are secure and confident will be more likely to try new ideas.
3. How can cognitive consistency approaches be used in effecting change?

V. RESISTANCE TO CHANGE

Change would not be difficult to implement if there weren't sources of resistance. This unit focuses on the sources of that resistance and the kinds of approaches change agents can try to meet, minimize, or overcome resistance.

A. Connecting-Numbers Exercise (see p. 22A)

1. Prior to class prepare one packet of the numbers exercise (attached) for each class member. Each packet consists of an opaque cover sheet, four identical pages of numbers and a fifth page of numbers which are arranged differently; but the students do not know of this change.

You will need a watch with a second hand.

2. Distribute the packets and give the class directions -- before they open any of the booklets.
 - (a) The object is to connect numbers with a pencil beginning with the number 1, then connect to a 2, on to a three, and so on. Try to connect as many numbers as you can.
 - (i) You must connect them consecutively from 1.
 - (ii) Lines may cross.
 - (iii) No picture will result when finished.
 - (b) There are five pages to be done. This is a timed exercise and at the end of 30 seconds I will say, "Stop, begin on the next page." Begin each page with the number 1.
3. Using a watch with a second hand, have the class do the exercise. Allow exactly 30 seconds per page. At the end of seconds, say, "Stop, begin the next page."
4. When all five pages have been completed have each student determine the highest number reached on each of the five pages. On a blackboard summarize the class's performance on a chart like the one below. This is done easiest by asking students to raise hands in response to questions like "On page one, how many had a highest number between 1 and 4?"

PLEASE DO NOT OPEN UNTIL TOLD TO DO SO.

COUNT TO BE SURE THAT YOU HAVE FIVE
SHEETS IN ADDITION TO THIS GREEN SHEET.
DO NOT LOOK AT THE OTHER SHEETS.

LISTEN CAREFULLY FOR FURTHER INSTRUCTIONS
BEFORE DOING ANYTHING ELSE.

① 53 39 15 16 54
 27 51 28 40 6
 13 17 5 2 26 52
 29 3 41 14 50 30
 37 49 25 38 18 4 42
 7 23 55 46 36
 35 43 31 22 12
 11 19 57 44 24 34
 47 33 45 8 32 58
 21 9 59 20 60 10 56
 48

① 53 39 15 16 54
 27 51 28 AO 6
 13 17 5 2 26 52
 29 3 AI 14 50 30
 37 A9 25 18 4 42
 7 23 31 55 46 36
 35 43 22 12
 11 19 57 44 2A 34
 47 33 45 8 32 58
 21 9 59 20 48 60 10 56

① 53 39 15 16 54
 27 51 28 A0 6
 13 17 5 2 26 52
 29 3 A1 14 50 30
 37 A9 25 18 4 42
 7 23 31 55 46 36
 35 43 22 12
 11 19 57 44 24 34
 47 33 45 8 32 58
 21 9 59 20 48 60 10 56

① 53 39 15 16 54
 27 51 28 40 6
 13 17 5 2 26 52
 29 3 41 14 50 30
 37 49 25 18 4 42
 7 23 55 46 36
 35 43 31 22 12
 11 19 57 44 24 34
 47 33 45 8 32 58
 21 9 59 20 48 60 10 56

① 33 9 25 23 75
 49 41 37 59 13
 19 51 35 15 21 29
 3 27 1 55 47
 11 31
 43 57 17 53 39 5
 34 12 36 20 56 22 46
 18 2 40 54 8
 50 28 58 14 30
 42 26 44 38 6 48
 4 10 52 24 32 60 16

Highest Number Reached is							
	1-4	5-8	9-12	13-16	17-20	21-24	25-28
page 1							
page 2							
page 3							
page 4							
page 5							

5. Ask class what they see from the table. (N.B. If we equate the word "performance" with the highest number reached on a page, what usually happens is that on the average, the class's performance increases from page 1 to page 2 to page 3 to page 4. On page 5 the performance drops off -- sometimes being worse than page 1.) This result is not peculiar to this game. All changes produce some initial decrease in performance. People know this implicitly from experience and this anticipated decrease in performance is one reason they resist change.
6. After the students have discussed the game, focus the next discussion on the game and resistance to change.
 - (a) Why do people implement change? (Ans.: to improve things.)
 - (b) What usually happens in a large organization when a plan for implementing change is suggested? (Ans.: some will say "It won't work.")
 - (c) What does this exercise demonstrate in terms of performance after a change (the change here is the different arrangement of numbers between pages 1-4 and 5). (Ans.: Performance will drop off initially and the original Nay-Sayers will run around saying "I told you so." Sometimes the change will be revoked because of this initial decrease in performance.
7. What are the implications of this game on increasing the effectiveness of a change agent?
 - (a) Expect initial decrease in performance
 - (i) Tell management to expect it
 - (ii) Ask management for some "grace period" after the change is implemented before a serious evaluation of the change is conducted.

(b) Prepare workers for the change

- (i) Tell them there will be some initial decrease in performance; don't expect the same level of performance initially.

- (ii) Train them for the change.

B. Rating Life Changes Exercise

1. Ask class to complete the Social-Readjustment Rating Scale (attached). Follow the instructions presented in the Holmes and Masuda (see bibliography) article. Because the content of this is somewhat personal, students should be told that you are only interested in their total score.
2. Using the presentation of Holmes and Masuda interpret the scores in terms of resistance to change.
 - (a) On the average, the more changes one goes through, the more likely it will be that some major physical or mental condition will follow.
 - (b) This is true regardless of the nature of the changes -- good or bad, though some changes have more of an impact than others.
 - (c) One understandable reason for resistance to change is that it affects one's physical and mental well-being.

SOCIAL-READJUSTMENT RATING SCALE

<u>Life Event</u>	<u>Value</u>
Death of Spouse	100
Divorce	73
Marital separation	65
Jail term	63
Death of close family member	63
Personal injury or illness	53
Marriage	50
Fired at work	47
Marital reconciliation	45
Retirement	45
Change in health of family member	44
Pregnancy	40

SOCIAL-READJUSTMENT RATING SCALE
(continued)

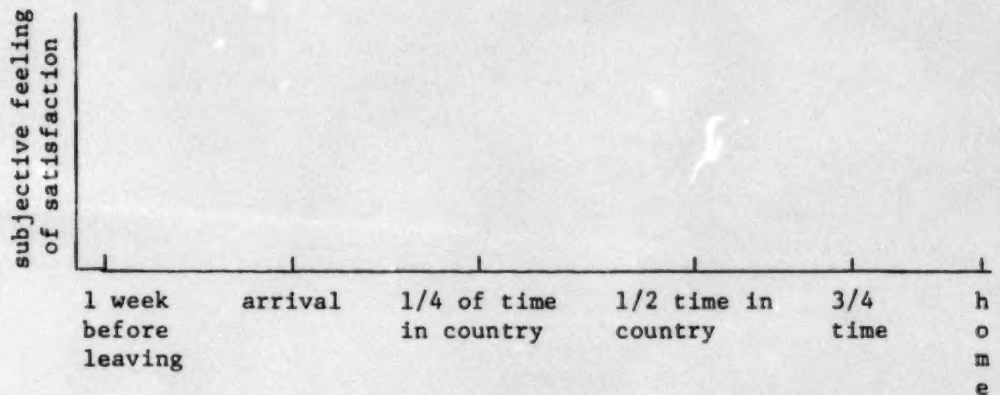
<u>Life Event</u>	<u>Value</u>
Sex difficulties	39
Gain of new family member	39
Change in financial state	38
Death of close friend	37
Change to different line of work	36
Change in number of arguments with spouse	35
Mortgage over \$10,000	31
Foreclosure of mortgage or loan	30
Change in responsibilities at work	29
Son or daughter leaving home	29
Trouble with in-laws	29
Outstand personal achievement	28
Wife beginning or stopping work	26
Beginning or ending school	26
Revision of personal habits	24
Trouble with boss	23
Change in work hours or conditions	20
Change in residence	20
Change in schools	20
Change in recreation	19
Change in social activities	18
Mortgage or loan less than \$10,000	17
Change in sleeping habits	16
Change in number of family get-togethers	15
Change in eating habits	15
Vacation	13
Minor violations of the law	11

Developed by Thomas Holmes, Professor of Psychiatry, University of Washington, Seattle. Reported in Psychology Today, April 1972, pages 17f.

3. What are the implications of this on planning for change?
 - (a) Plan for reasonable sources of resistance.
 - (b) Try to understand the other types of changes the people have been through recently.
 - (c) Build in time, resources, and empathy into the change program. Prepare people for the possible effects of change.

C. "U" Curve Exercise

1. Ask those members of the class who have visited a foreign country for more than a short visit (say longer than 2 weeks) to complete the following graph:



2. For many people the curve will be "U"-shaped. While it won't be a smooth, perfectly-symmetrical "U", the curve will go up and down. Ask the class why they think this is so.
 - (a) A person's expectations and experiences obviously have a lot to do with their feelings of satisfaction.
 - (b) At points of change, what may happen is that their expectations are not realized and satisfaction drops. In the situation of traveling to a foreign country satisfaction may drop when they realize the language training was not sufficient, or when they need a doctor that speaks English, etc.
 - (c) The point of this is that changes often affect a person's feelings of satisfaction -- sometimes lowering these feelings. People may resist change to avoid this situation.

D. Social Consequences of Change

1. Ask class members to try to discover a relationship between the "likes" and "dislikes" some foreign students have about the U.S.A. A partial list is given below.

Likes	Dislikes
Communication system	Treatment of older people
Health care facilities	Women's liberation
Network of roads	Pornography
University education	Breakdown of family structure
etc.	

Many foreign students come to the U.S.A. to learn technological skills which will help their home country. What many foreign countries have come to realize (and what change agents in this country need to remember) is that technological changes may have negative social consequences.

In the list above, a good system of transportation and communication allows people to be more mobile which may help produce a breakdown in the nuclear family.

2. Ask class members for the sociological implications of some technical improvements in the U.S.
 - (a) Mass produced, relatively inexpensive automobile
 - (b) Computers
 - (c) Universal education
 - (d) High yield agriculture (the "green" revolution)
 - (e) Better diagnosis and treatment for disease

E. Force Field Analysis

1. Discuss Lewin's examination of resistance to change (in Bennis, et al. chapter 7.2). In what ways does it apply to change in an individual.
2. Since all change may meet with some resistance what are the consequences of each of the two possible approaches to take?
 - (a) Minimize resistance
 - (b) Maximize power to overcome the resistance

F. Summary

1. People resist change for many understandable reasons
 - (a) initial loss of production
 - (b) effect on physical and mental health
 - (c) effect on self-satisfaction
 - (d) social consequences of change
2. Naive change agents do not expect resistance or plan for it.
 - (a) often resisters are treated as malcontents or as villains.
 - (b) often resisters are not prepared psychologically and intellectually for the change.

G. Application

1. Show the film: "Forgotten Village."
2. Ask the class to analyze the film in terms of strategies for effecting change.
3. A useful group exercise is to ask the class to prepare a change plan for a variety of the characters in the film. The goal of these change plans is to inoculate the children and purify the water.
 - (a) Assume the change agent is the teacher, and he begins his plan when he first believes he knows the source of the problem.
 - (b) Assume the change agent is the doctor.

From this exercise, try to determine the essential ingredients for effecting change in a social system. For example,

- (a) make use of the norms of the social system
- (b) outsiders are not always trusted
- (c) use existing power figures
- (d) etc.

H. Readings

Holmes, T. H. and Masuda

Schon, D. A.

Bennis, et al. Chapter 7.2 Principles of Changing

Chapter 9.1 Resistance to Change

Chapter 9.2 Some Notes on the Dynamics of
Resistance to Change

Zaltman, et al. Chapter 57 Resistance to Adoption of Audiovisual
Aids by Elementary School Teachers

Rogers and Shoemaker,
Chapter 5 Adopter Categories

VI. EFFECTING CHANGE IN ORGANIZATIONS

This unit of the course focuses primarily on the manager and how he or she can effect change in subordinates. Since many of the change principles presented earlier in the course also apply in this situation, the emphasis here is on managerial style and philosophy and its effects on subordinate motivation.

A. The Prisoner's Dilemma Game

1. Divide the class into two teams: RED AND BLUE. Separate the teams. The teams should be close enough so that both teams can see each other, yet should be far enough apart so that they cannot hear discussions taking place within a team.
2. Tell the teams, they are about to play a game which will enable them to make money. Their object is to make as much money as possible.

How much money each team makes depends upon the actions of both teams. The following "payoff-matrices" show how much each team can win or lose.

		Payoff to RED TEAM if red says				Payoff to BLUE TEAM if red says	
		"A"	"B"			"A"	"B"
If Blue says	"1"	+5	+10	If Blue says	"1"	+5	-10
	"2"	-10	-20		"2"	+10	-20

3. Give the class many examples of using the payoff-matrices so they can plan a strategy. It is important to help the class members understand the matrices, but do not discuss strategy aloud. Each group should determine their own strategy.

It may help to go over all four squares of the payoff matrices.

- (a) If RED says "A" and BLUE says "1" both teams win \$5.00.
- (b) If RED says "A" and BLUE says "2" the RED team loses \$10.00 and the BLUE team wins \$10.00
- (c) If RED says "B" and BLUE Says "1" the RED team wins \$10.00 and the BLUE team loses \$10.00.

(d) If RED says "B" and BLUE says "2" both teams lose \$20.00.

(1) neither team has an advantage, both can win 5, win 10, lose 10 and lose 20 dollars.

(ii) what a particular team wins or loses depends upon what the other team does. If the RED team knows ahead of time what the BLUE team will say, they can use that information to their advantage. Therefore, teams ought to plan their strategy and choose what to say secretly.

4. Once the teams fully understand how the game is to be played explain that each game consists of 10 rounds. Each round consists of one "say" by each team -- resulting in some money won or lost by each team.

Put on the blackboard a scoring summary, which will look something like this:

	Game 1		Game 2		Game 3	
round	RED	BLUE	RED	BLUE	RED	BLUE
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Total						

5. Have each team elect a spokesperson who will report the team's decision for each round. The entire team ought to partake in discussing what will be said, but only the spokesperson should do the reporting.

6. Play all 10 rounds of game #1. It is important that the spokespersons report their team's decision simultaneously. After each round tally the team's score on the board. To liven up the game, you can decide to make the 10th round more important by multiplying all wins and losses by 10. Be sure to tell the teams if you plan to do this before the 10th round -- and continue to do this for all three games to be played.
7. At the end of game #1, compute the net winnings of each team. Usually game #1 results in losses by each team -- or less winnings than will occur in the other versions of the game.
8. Without discussing game #1, begin game #2. Game #2 is played with the same payoff matrices but this time it is played by two people rather than groups. Ask for two volunteers -- people who
 - (a) understand the payoff matrices,
 - (b) know each other fairly well, preferably over a long period of time,
 - (c) are friends.
9. Ask the two volunteers to go out of the room and discuss their individual strategies together -- i.e. how each one of them plans to play the game.
10. When they return, assign one to be the entire RED team, the other the entire BLUE team. Play all 10 rounds as before. In game #2 the two teams can talk with each other (in public or outside the room) whenever they wish to. Record their winnings and losses on the board alongside of the results of the first game.
11. Without discussing the results of the second game, conduct the third version of the game. This game is played as the first game (by full teams, no communication between teams). The only difference is that the payoff matrix is changed. Change the matrix so that both +10's become -10; and both -10's become +10. Leave the other numbers the same. Allow the teams some time to discuss among themselves the implications of the new payoff matrices on their strategy.
12. When both teams are ready, play game #3 and record the scores and the totals on the blackboard.
13. Begin discussion by asking class what they think occurred.

14. Points of emphasis in the discussion

- (a) Game #1 had a payoff matrix which rewarded the team who refused to cooperate. If the top-left squares are called the trust square (the square in which both teams can make steady but slow accumulation of money), the payoff matrices rewards the RED team for saying B and the BLUE team for saying "2". What usually happens is that the "2-B" square is hit and both teams lose \$20.00. Game #1 usually produces the lowest winnings of all 3 games.
- (b) Game #2 used the same payoff matrices but allowed communication among teams. Teams were composed of knowledgeable (understood payoffs) people who know and hopefully trusted each other. Many more occurrences of the "1-A" square should occur. If the "1-A" square was not chosen all 10 rounds, why not? Was it the 10th round (when the other person could not retaliate)? How did the victim feel when the other person "violated trust"? Ask the victim what kinds of behaviors or communications would it take before complete trust was restored.
- (c) Game #3 did not require communication or trust. The payoff-matrices were changed so that the team which violated trust was punished (the opposite of game #1). Usually this version of the game is the most rewarding financially to both groups, yet the most boring.

15. What parallels can be drawn to human interaction in long-term relationships such as supervisor-subordinate (though husband-wife examples may be equally interesting to think about).

- (a) Many organizations say they want one kind of behavior (e.g., trust, cooperation, helpfulness, creativity, etc.) yet the payoff matrices are similar to those in game #1. For example, students are supposed to help each other, but the instructor grades on a comparative basis.
- (b) Increasing interaction and communication may help raise the level of trust and cooperation (as in game #2) but the organization must be willing to expend the resources and time necessary to maintain the interpersonal relationships. And, if trust is violated, it usually takes a long time to get it back.

For example, in a domestic squabble one party may suddenly recall what the other said 8 years ago.

- (c) Few organizations and relationships are built on the payoff-matrices from game #3. Here trust is simply not necessary.
- (d) While human-resources education and training (e.g. T groups) may help, and communication among members of the organization will help, some efforts ought to be given to discovering how to change payoff-matrices so that it is in everyone's best interest to behave as desired.

B. Organizational-Reward Structure

This is simply another way of drawing attention to the problem noted in the prisoner's dilemma game.

1. Ask the class members to help form a listing of personality traits of employees they would like to work with or have work for them. Usually this list includes a characterization of their ideal self. Traits such as: motivated, competent, organized, fun to work with, dependable, cooperative, helpful, trustworthy, etc.
2. Prepare a second list of the common rewards and punishments used in organizations. Usually this includes: giving raises, giving promotions, reprimands, being fired, etc.
3. Finally ask the class what traits are typically being rewarded or punished by the means listed.

Are there rewards for interpersonal relations? trust? cooperation? Or are most of the rewards and punishments for task-oriented dimensions of the job (e.g. competence)?

4. Again, as in prisoner's dilemma, we need to raise the question concerning reward structures and their effect on employee motivation, morale and performance.

C. Review of Motivation Theory as Applied to Employees

1. Have the class review the Needs-hierarchy approach to motivation by reading the classic article by Maslow (reprinted in Leavitt and Pondy).
2. One application of the needs hierarchy to management is the Theory X vs. Theory Y styles of McGregor (excerpted in Leavitt and Pondy).

- (a) Remind the class that these theories are based upon assumptions about the nature of man.
 - (b) Theory X and Theory Y are probably ends of a continuum; there are probably very few pure Theory X or Y managers.
 - (c) Discuss the Participatory-Management movement in terms of applying Theory Y. How successful is participatory-management as a management technique? How can it be brought into being?
3. Show the film, "KITA (or, What Have You Done For Me Lately?)."
- (a) Review Herzburg's Two Factor theory.
 - (b) Most "hygiene" factors are lower-level needs, while "motivating" factors are higher level needs.
 - (c) What does Herzburg say in the film about "hygiene" factors.
 - (i) You must have good hygiene, so give them
 - (ii) Don't make a big fuss about them
 - (iii) Don't use them as rewards
 - (iv) They may "move" people; don't expect them to "motivate."
 - (d) How can you increase the amount of "motivating" factors
 - (i) Primarily through horizontal job enrichment
- D. Summary -- What Can a Manager Do to Improve Employee Motivation
- A. Change reward structures.
 - B. Increase opportunity for job enrichment
 - C. Build time into maintenance of interpersonal relationships.
- E. Films (Optional)
- 1. "Focus on Behavior #7: The Social Animal." The final experiment presents a different type of prisoner's-dilemma game. It focuses only payoffs, communication and threat to reach mutually acceptable winnings.

2. "Managerial Grid in Action." A discussion by the developer of the managerial grid and how it can be used to effect change in organizational style. Useful to help the class see some consequences of various approaches a manager can take toward employees.
3. "Two-Person Communication." All five films in this series are concerned with the role of communication, thrust, and interpersonal relationships on organizations and employee development.

F. Readings

- Leavitt & Pondy: Chapter 1 A Theory of Human Motivation
 Chapter 7 The Human Side of Enterprise
 Chapter 4 Defensive Communication
 Chapter 13 Contributions of the Behavioral Sciences to a General Theory of Management.
- Bennis et al. Chapter 8.6 The consequences of survey feedback
 Chapter 2.1 Theory and Method in Applying Behavioral Science to Planned Organizational Change.

VII. SOCIAL CHANGE STRATEGIES FOR PROFESSIONALS

This unit of the course focuses on how professionals can effect broader (outside of the organization) change. Specifically, a rational approach to lobbying, marketing and use of the communication channels to effect change in user groups and political bodies will be covered.

A. Communication Channels and Media

1. Media Influence -- Viewpoints

- (a) Hypodermic Model
- (b) Two-step flow
- (c) Multi-step flow
- (d) Media as a reinforcer
- (e) Media as agenda setting
- (f) Summary: Media in a Rational-Normative approach to change.

2. Media and Change -- The Diffusion of Innovations

- (a) Characteristics of adopters
 - (i) Role of media
 - (ii) Interpersonal communication
 - (iii) Association with rest of social system
- (b) Opinion Leaders
 - (i) As change agents
 - (ii) And communication use
 - (iii) And norms of the social system

3. Using Media to Create Issues

- (a) Mass media raises issues for everyone -- including those opposed.

(b) Learn how to use the mass media channels in your situation.

(i) Work with editors, reporters, etc.

(ii) Write in the style they need

(iii) Give them news, not advertising

(iv) Meet their deadlines.

B. Marketing Approaches to Voluntary Change

1. What is marketing

(a) More than advertising

(b) Planned program of voluntary change

(c) Aimed at segmented audiences

2. Marketing mix

(a) Product or service

(b) Price of product or service

(c) Communication about product or service

(d) Distribution of product or service

3. Questions to ask

(a) What is being offered?

(b) To whom?

(c) Where?

(d) When?

(e) How?

4. Answers come from a present and anticipated

(a) Marketing analysis of users (consumers, patrons, etc.)

(b) Organizational environment

(c) Economic situation

(d) Competitors

5. How can marketing help

- (a) By opening new approaches to meeting the organization's objectives.
- (b) By helping management learn more about the needs of their current and future users.
- (c) By organizing all of the components into a coherent plan.

C. A Rational Approach to Pressure Politics

1. The PRINCE model of changing political and regulatory bodies.

- (a) Identify the actors and issues involved.
- (b) Use friendship patterns and media to effect influence.
- (c) Net effect of influence depends upon the power of an actor, his position on the issue and the importance of that issue to him.

2. Lobbying

- (a) Organizing the community.
- (b) Getting support of influentials.
- (c) Using voters.
- (d) Forming groups with staying power.
- (e) Using the media.

D. Exercises

1. Using the Marketing Audit (Kotler, Chapter 4) as a guide try to identify alternative approaches, insights, or new ideas which will help a particular organization market itself better. For example, a small public library may have always seen its audience as singular (general public) and unsegmented. How can a change in either of these viewpoints help the library market itself? Suppose the library now considered the political powers (mayor, city council, etc.) as an audience, what new kinds of information services could they provide and what would they expect the consequences to be?

2. Using the PRINCE model, help the director of the Morganville Public Library (case is attached) get support of the outreach program. Begin by identifying actors and issues. Then estimate the initial position, power, and salience of each actor for each issue. Finally make a friendship-hostility chart to locate interpersonal influence channels. From these charts can you predict if outreach has an easy chance of being approved? If not, do the charts indicate tactics for improving its chances?

E. Readings

Kotler, Chapters 1, 5, 6, 7 and 17.

Coplin and O'Leary, Chapters 1, 2, 10, and 11.

Rogers and Shoemaker, Chapters 6 and 8.

Outreach and the Morganville Public Library

Morganville is a small city on the outskirts of the industrialized part of the state. The 1970 census gives the population as 25,200. But since then the population has grown -- primarily among white collar workers who live in new residential communities on the east side of town and commute to work thirty miles away. A map of Morganville is attached.

The Morganville Public Library (MPL) consists of a main branch and two smaller branches. With an operating budget of \$185,000 the library performs traditional reference services and maintains a collection of print materials for borrowing. The library does not as yet provide a bookmobile service nor any specific outreach program.

To partially fill this need, the Mayor requested and was granted, federal money to support an Adult Literacy Program (ALP). The program began operation last year and holds evening classes in the high school two nights a week. ALP is currently planning to expand their services. They want to hold more (10) classes per week, locate the classes closer to the participants, and they want to print their own text materials. They estimate this expanded service would cost the city about \$49,000 per year.

Due to possible changes in the standards for public libraries, and partially due to the presence of ALP, the library began to plan an outreach program. The program calls for two storefront outreach centers each staffed by a paraprofessional (a community person trained by the library) and a clerk. The centers will provide telephone reference service and have magazines, helpful pamphlets, records and a few books for borrowing. The anticipated first year cost of the program is \$71,600.

Before presenting the plan to its Board of Trustees for approval, the MPL held public hearings to get suggestions and support from the community. The few who attended these meetings disagreed. One group led by Joe Manard was in support of the program -- providing the outreach centers were located where they would do the most good. Mr. Manard also volunteered his services to help choose the locations and identify community members to staff the centers. The other group, led by Helen Saylor, thought the money could be better spent on a bookmobile which would provide library services to the entire city.

Following the hearings, the MPL decided to continue with its outreach program as designed and presented the proposal for approval to the Board of Trustees. After a heated debate, the proposal was unanimously approved as presented. The major disagreement was from

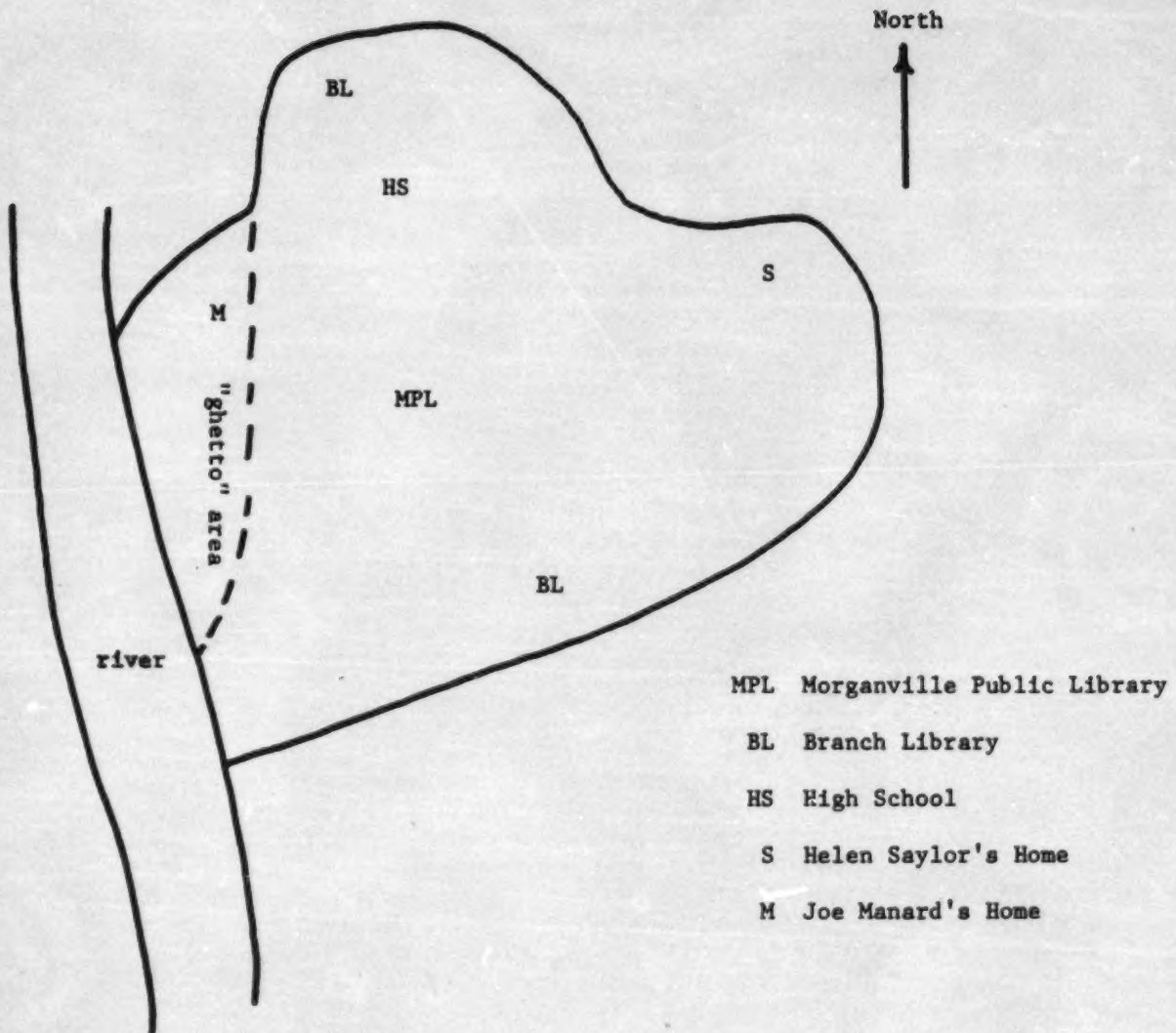
Mr. Files, the president of the Board, who wanted the location and the staffing of the centers to be under the Mayor's control. "After all," as Mr. Files said, "the Mayor is responsible for raising the money to support the program so he must exercise control over its operation. Naturally, I would expect that he would locate the centers where they would do the most good."

The proposal was submitted to the Mayor for approval.

To be approved, the outreach program as proposed, must be supported by the Mayor and a majority of the City Council.

VII
Morganville Public Library

MORGANVILLE



Possible Student Projects

Term projects for this course can take many forms. The best would combine the student's understanding of the principles and concepts presented, with the student's ability to analyze change as it actually occurs. But that is often difficult to arrange in a one-semester course.

One or more of the following types of projects can be used to good advantage, though some are better for the student's further education than they are as tools for evaluation.

A. Term Papers

These require the student to go beyond what is discussed in class or go into a new, but related topic area. All are academic papers stressing theory, concepts, approaches, or research studies about change.

Some topics are

1. Why do change agents fail?
2. Unplanned consequences of change.
3. Changes in small groups.
4. Evaluating change -- has it worked?
5. Should change be planned?
6. Ethics of change: freedom versus manipulation.
7. Review of studies assessing the success of participatory management.
8. Use of power in contemporary culture.

B. Diaries

Students are assigned early in the semester to monitor some change by keeping a running log or diary of those factors influencing the change. At the end of the semester the student appends to the diary a short paper analyzing the diary in terms of the material presented in class. Changes can be personal to the student or can involve the class as a whole as it assists some campus or community organization in effecting change.

C. Case Studies

This is similar to the diary approach except the change situation is not observed as it occurs. Rather a description of the change in the form of a case-study is analyzed. Students can either prepare their own case study (from a real change in their own experience) or they can find a case reported in the literature. Again, an analysis of the change must accompany the case itself.

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JOURNALS FOR BROWSING

The following journals are likely to be good sources of case studies on effecting change:

<u>Administrative Science Quarterly</u>	HD28 A25
<u>Behaviour Research and Therapy</u>	RC321 B44
<u>Behavior Therapy</u>	RC489. B4 B435
<u>Human Organization</u>	GN1. H91
<u>Human Relations</u>	H1 H8
<u>Journal of Applied Behavioral Analysis</u>	BF636 A1 J6
<u>Journal of Applied Behavioral Science</u>	H1 J53
<u>Journal of Behavior Therapy and Experimental Psychiatry</u>	RC4898 B4 J65
<u>Journal of Social Issues</u>	HN51 J6
<u>Organizational Behavior and Human Performance</u>	BF636 A107
<u>Psychology Today</u>	BF1 P854

FILMS

All films listed below have been used successfully in this course. Using all of them in one semester may use too much classroom time. Previewing is recommended.

Behavior Theory in Practice, Parts I-IV. Syracuse University Film Library.

Behavior Therapy Demonstration. Penn. State Film Library.

Focus on Behavior #7: The Social Animal. Syracuse University Film Library.

Forgotten Village. Budget Distributor.

KITA (or, What Have You Done For Me Lately?) BNA Films.

Managerial Grid in Action. BNA Films.

To Alter Human Behavior Without Mind Control. Syracuse University Film Library.

Two-Person Communication (a series of five films). BNA Films.